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9P/1635  
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\*LIMITED TO MATTERS  
AND PROCEEDINGS BEFORE  
FEDERAL COURTS & AGENCIES  
\*\*REGISTERED PATENT AGENT  
\*\*\*SENIOR COUNSEL

October 11, 2001

WRITER'S DIRECT NUMBER:  
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Commissioner for Patents  
Washington, D.C. 20231

Group Art Unit 1635

Re: U.S. Utility Patent Application  
Appl. No. 09/438,365; Filed: November 12, 1999  
For: **New Transfection Reagents**  
Inventors: Chu *et al.*  
Our Ref: 0942.4650001/RWE/THN

RECEIVED

OCT 16 2001

TECH CENTER 1600/2900

Sir:

Applicants submit the following documents for appropriate action by the U.S. Patent and Trademark Office:

1. Fee Transmittal Form (PTO/SB/17) (*in duplicate*);
2. Third Supplemental Information Disclosure Statement and Fee Under 37 C.F.R. § 1.97(c) (*in duplicate*);
3. Form PTO-1449 (1 sheet);
4. Copy of documents AL3 and AM3;
5. Our Check No. 32830 in the amount of \$180.00 for the submission of an Information Disclosure Statement (37 C.F.R. 1.17(p)); and
6. One (1) return postcard.

Commissioner for Patents

October 11, 2001

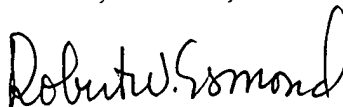
Page 2

It is respectfully requested that the attached postcard be stamped with the date of filing of these documents, and that it be returned to our courier. The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

The U.S. Patent and Trademark Office is hereby authorized to charge all requisite fees to our Deposit Account No. 19-0036. A duplicate copy of this letter is enclosed.

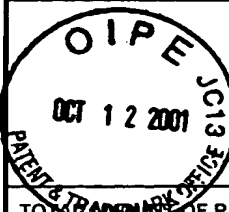
Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

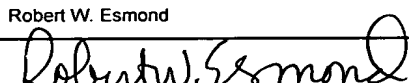


Robert W. Esmond  
Attorney for Applicants  
Registration No. 32,893

Enclosures

 <b>FEE TRANSMITTAL for FY 2002</b> <i>Patent fees are subject to annual revision.</i>		<b>Complete if Known</b>	
		Application Number	09/438,365
TOTAL AMOUNT OF PAYMENT		Filing Date	November 12, 1999
(\$ ) 180.00		First Named Inventor	Yongliang Chu
		Examiner Name	Epps, J.
		Group Art Unit	1635
		Attorney Docket No.	0942.4650001/RWE/THN

METHOD OF PAYMENT (check one)		FEE CALCULATION (continued)				
<b>1.</b> <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to:  Deposit Account Number: 19-0036 Deposit Account Name: Sterne, Kessler, Goldstein & Fox P.L.L.C.  <input type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17  <input type="checkbox"/> Applicant claims small entity status See 37 CFR 1.27		<b>3. ADDITIONAL FEES</b> Large Entity Small Entity Fee Code Fee (\$) Fee Code Fee (\$) Fee Description Fee paid				
<b>2.</b> <input checked="" type="checkbox"/> Payment Enclosed: <input checked="" type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money Order <input checked="" type="checkbox"/> Other* <small>*Charge any deficiencies or credit any overpayments in the fees or fee calculations of Parts 1, 2 and 3 below to Deposit Account No. 19-0036.</small>						
<b>FEE CALCULATION</b>						
<b>1. BASIC FILING FEE</b>						
Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid	
101	740	201	370	Utility filing fee		
106	330	206	165	Design filing fee		
107	510	207	255	Plant filing fee		
108	740	208	370	Reissue filing fee		
114	160	214	80	Provisional filing fee		
SUBTOTAL (1) (\$)					0.00	
<b>2. EXTRA CLAIM FEES</b>						
Total Claims - 20** =		Extra	Fee from below	Fee Paid		
Indep. Claims - 3** =						
Multiple Dependent						
Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description		
103	18	203	9	Claims in excess of 20		
102	84	202	42	Independent claims in excess of 3		
104	280	204	140	Multiple dependent claim		
108	84	209	42	**Reissue independent claims over original patent		
110	18	210	9	**Reissue claims in excess of 20 and over original patent		
SUBTOTAL (2) (\$)					0.00	
		Other fee (specify):				
		Other fee (specify):				
		*Reduced by Basic Filing Fee Paid				
		SUBTOTAL (3) (\$) 180.00				

<b>SUBMITTED BY</b>		<b>Complete (if applicable)</b>			
Name (Print/Type)	Robert W. Esmond	Registration No. (Attorney/Agent)	32,893	Telephone	202-371-2600
Signature		Date	Oct. 11, 2001		



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

#11  
BP  
10-18-01

re application of:

Chu *et al.*

Appl. No. 09/438,365

Filed: November 12, 1999

For: **New Transfection Reagents**

Confirmation No.

Art Unit: 1635

Examiner: Epps, J.

Atty. Docket: 0942.4650001/RWE/THN

**Third Supplemental Information Disclosure Statement and Fee  
Under 37 C.F.R. § 1.97(c)**

Commissioner for Patents  
Washington, D.C. 20231

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TECH CENTER 1600/2900

Sir:

Listed on accompanying Form PTO-1449 are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98. The numbering on this Third Supplemental Information Disclosure Statement is a continuation of the numbering in Applicants' Second Supplemental Information Disclosure Statement filed on **October 23, 2000** in connection with the above-captioned application. A copy of each document is also provided.

Where the publication date of a listed document does not provide a month of publication, the year of publication of the listed document is sufficiently earlier than the effective U.S. filing date and any foreign priority date so that the month of publication is not in issue. Applicants have listed publication dates on the attached PTO-1449 based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior

art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

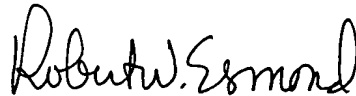
This statement should not be construed as a representation that an exhaustive search has been made, or that information more material to the examination of the present patent application does not exist. The Examiner is specifically requested not to rely solely on the material submitted herewith.

It is respectfully requested that the Examiner initial and return a copy of the enclosed PTO-1449, and to indicate in the official file wrapper of this patent application that the documents have been considered.

In accordance with 37 C.F.R. § 1.97(c), fee payment under 37 C.F.R. § 1.17(p) is provided in our accompanying Check No. 32830. The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036. A duplicate copy of this pleading is enclosed.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Robert W. Esmond  
Attorney for Applicants  
Registration No. 32,893

Date: Oct. 11, 2001

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